



PTO/SB/01A (10-00)  
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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☒ The attached application, or  
☐ Application No. \_\_\_\_\_, filed on \_\_\_\_\_,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one: Carlton Plunk

Signature: [Signature] Citizen of: United States of America

Inventor two: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Inventor three: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Inventor four: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: \_\_\_\_\_

☐ Additional inventors are being named on \_\_\_\_\_ additional form(s) attached hereto.

**Burden Hour Statement:** This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

FORM PTO-1019A  
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U.S. Department of Commerce  
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**PATENT**

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Mail documents to be recorded with required cover sheet(s) information to:  
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**C Correspondent Name and Address**

Area Code and Telephone Number (502) 584-1135

Name Jeffrey A. Haeberlin, Esq.

Address (line 1) MIDDLETON REUTLINGER

Address (line 2) 2500 Brown & Williamson Tower

Address (line 3) Louisville, Kentucky 40202

Address (line 4)

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# 1

**Application Number(s) or Patent Number(s)**

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property). ☐ Mark if additional numbers attached

Patent Application Number(s)

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year  
05 23 2001

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT PCT PCT  
PCT PCT PCT

**Number of Properties**

Enter the total number of properties involved. #

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:  
Deposit Account

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Yes ☐ No ☐

**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Jeffrey A. Haeberlin, Esq. REG.# 40630

Name of Person Signing

Signature

05/25/2001

Date

## ASSIGNMENT

WHEREAS, Carlton Plunk, residing at 281 North 3rd Avenue, Saultillo, MS 38866, USA (the "Inventor") has invented certain new and useful improvements in the Invention disclosed in an Application for United States Letters Patent entitled RETROFIT RECESSED FLUORESCENT STRIP FIXTURE AND METHOD and executed by the Inventor on even date herewith;

AND WHEREAS, Genlyte Thomas Group LLC, a Delaware Limited Liability Company, whose principal place of business is located at 4360 Brownsboro Road, Suite 300, Louisville, Kentucky 40207 (hereafter, together with any successors, legal representatives or assigns thereof, called "Assignee"), desires to acquire the entire right, title and interest in said Invention, said Application, and any United States and foreign patents to be obtained therefor;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Inventor hereby sells, assigns and transfers his entire right, title and interest in said Invention, said Application, including any divisions, continuations, and continuations-in-part, and in and to any and all Letters Patent of the United States, and all countries foreign thereto, which may be granted or have been granted for said Invention, and in and to any and all reissues and reexaminations thereof, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to the Inventor with respect to the filing of applications for patents or the securing of patents in the United States and countries foreign thereto, unto said Assignee;

AND THE INVENTOR HEREBY agrees to sign and execute all necessary and lawful future documents, including applications for foreign patents, for filing divisions, continuations and continuations-in-part of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid Invention, as the Assignee or its Designee(s) may from time to time require and prepare at its own expense;

AND THE INVENTOR HEREBY authorizes and requests the United States Patent and Trademark Office, and any offices of foreign countries whose duty it is to issue patents on applications as aforesaid, to issue any Letters Patent granted upon said Application and for said Invention to said Assignee.

  
Carlton Plunk

5-23-01  
DATE


STATE OF MISSISSIPPI \_\_\_\_\_ )  
COUNTY OF Lee \_\_\_\_\_ ) SS:

Subscribed, sworn and acknowledged before me by Carlton Plunk this 23<sup>rd</sup> day of May, 2001.  
MISSISSIPPI STATEWIDE NOTARY PUBLIC  
MY COMMISSION EXPIRES JULY 31, 2003  
BONDED THRU STEGALL NOTARY SERVICE

My commission expires \_\_\_\_\_

  
Notary Public

Prepared by:

  
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